

Docket No.: YO999527

3624
JFW

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent Application

5 Applicant(s): Tetsunosuke Fujisaki
Docket No.: YO999527
Serial No.: 09/710,999
Filing Date: November 9, 2000
Group: 3624
10 Examiner: Narayanswamy Subramanian

I hereby certify that this paper is being deposited on this date with the U.S. Postal Service as first class mail addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

Signature: Jene Mauro Date: October 14, 2004

Title: Method and Apparatus for Network Marketing of Financial Securities

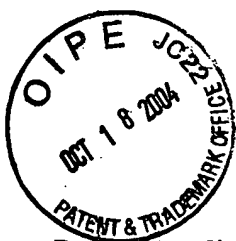
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AMENDMENT AND RESPONSE TO OFFICE ACTION

20 Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

25 Sir:

In response to the outstanding Office Action, dated July 14, 2004, please amend the above-identified patent application as follows:



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent Application

Applicant(s) Tetsunosuke Fujisaki
Docket No.: YO999-527
Serial No.: 09/710,999
Filing Date: November 9, 2000
Group: 3624
Examiner: Narayanswamy Subramanian

I hereby certify that this paper is being deposited on this date with the U.S. Postal Service as first class mail addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

Signature: Kevin M. Mason Date: October 14, 2004

Title: Method and Apparatus for Network Marketing of Financial Securities

TRANSMITTAL LETTER

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Submitted herewith is an Amendment and Response to Office Action relating to the above-identified patent application. There is no additional claim fee due in connection with the Response.

In the event of non-payment or improper payment of a required fee, the Commissioner is authorized to charge or to credit **IBM Corporation Deposit Account No. 50-0510** as required to correct the error. Duplicate copies of this letter are enclosed.

Respectfully submitted,

Kevin M. Mason

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Dated: October 14, 2004